



CORRECTIVE ACTION MANAGEMENT PROGRAM

Fourth Quarter Report for Fiscal Year 2010

October 2010

**Department of Energy
Office of Corporate Safety Analysis**

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DOE Corrective Action Management Program

Fourth Quarter Report for Fiscal Year 2010

Performance Summary

This report provides the fourth quarter, fiscal year 2010 summary status of the Department of Energy's (DOEs) Corrective Action Management Program (CAMP). The report includes the status of corrective action plans (CAPs) and their associated corrective actions as of September 30, 2010. The report depicts the Department's CAMP program status, followed by the status for the Under Secretaries and the assigned Secretarial Officer (SO).

The Office of Environmental Management (EM) has consistently been on time with all CAMP-related corrective actions for the past 16 quarters; extending its consecutive streak of on-time corrective actions, which is a Departmental SO record. EM completed 1 effectiveness review during the quarter and there were no overdue EM effectiveness reviews.

The National Nuclear Security Administration (NNSA) had 1 late corrective action for the quarter, similar to the previous quarter when NNSA had 1 late corrective action. The late action was from the Sandia National Laboratories regarding a 2008 independent oversight inspection. NNSA completed 11 corrective actions during the quarter and had 1 overdue effectiveness review.

The Office of Science (SC) had 5 late corrective actions during the quarter. Four of the actions are from a 2009 Lawrence Berkeley National Laboratory independent oversight investigation and the remaining action is from the Argonne National Laboratory (ANL). This overdue ANL corrective action has been persistently late for 9 consecutive quarters and remains incomplete. It was originally identified in the May 2005 independent oversight report at the ANL Alpha-Gamma Hot Cell Facility. SC has major ongoing initiatives to address this and other safety issues at ANL. SC completed 1 corrective action and 1 effectiveness review during the quarter, and had 1 overdue effectiveness review.

The Office of Nuclear Energy had no activity during the quarter.

Reporting Guidelines

The Corrective Action Management Program requirements delineated in DOE Order 414.1C, Quality Assurance, direct Department line managers to address, track, report, complete, and determine the effectiveness of corrective actions to resolve and prevent recurrence of:

(1) Environment, safety and health, and emergency management findings identified by the Office of Independent Oversight; (2) Judgments of Need identified during Type A accident investigations; (3) Safety management findings of DOE aviation facilities identified by the Office of Aviation Management, Office of Management; (4) Findings identified during the conduct of special assessment initiatives directed by the Secretary or Deputy Secretary to be tracked and reported in accordance with the provisions of the DOE CAMP.

A *finding* is defined as a significant deficiency identified during the conduct of an oversight assessment that may adversely affect the DOE mission; environment, safety or health of workers or the public; or national security. For the purpose of this report, the term *findings* will also apply to accident investigation judgments of need. These findings are validated and clearly addressed in a formal assessment report provided to line management.

Department line managers must develop and implement a CAP that describes all actions required to effectively resolve each reported finding. The final CAP is approved by the SO or their delegated designee within 60 days from issuance of the formal assessment report. Line managers must also complete all corrective actions within the planned dates, as outlined in the approved CAP, and report the status of these actions in the Department's Corrective Action Tracking System database. The planned CAP completion date is the date that all corrective actions listed in the CAP are to be completed.

Within six months after completion of all corrective actions in the CAP, the responsible Field Element Manager must complete and approve a corrective action effectiveness review to verify closure of corrective actions and determine their effectiveness in preventing recurrence.

This report is available on the Internet by accessing the CAMP Website at:

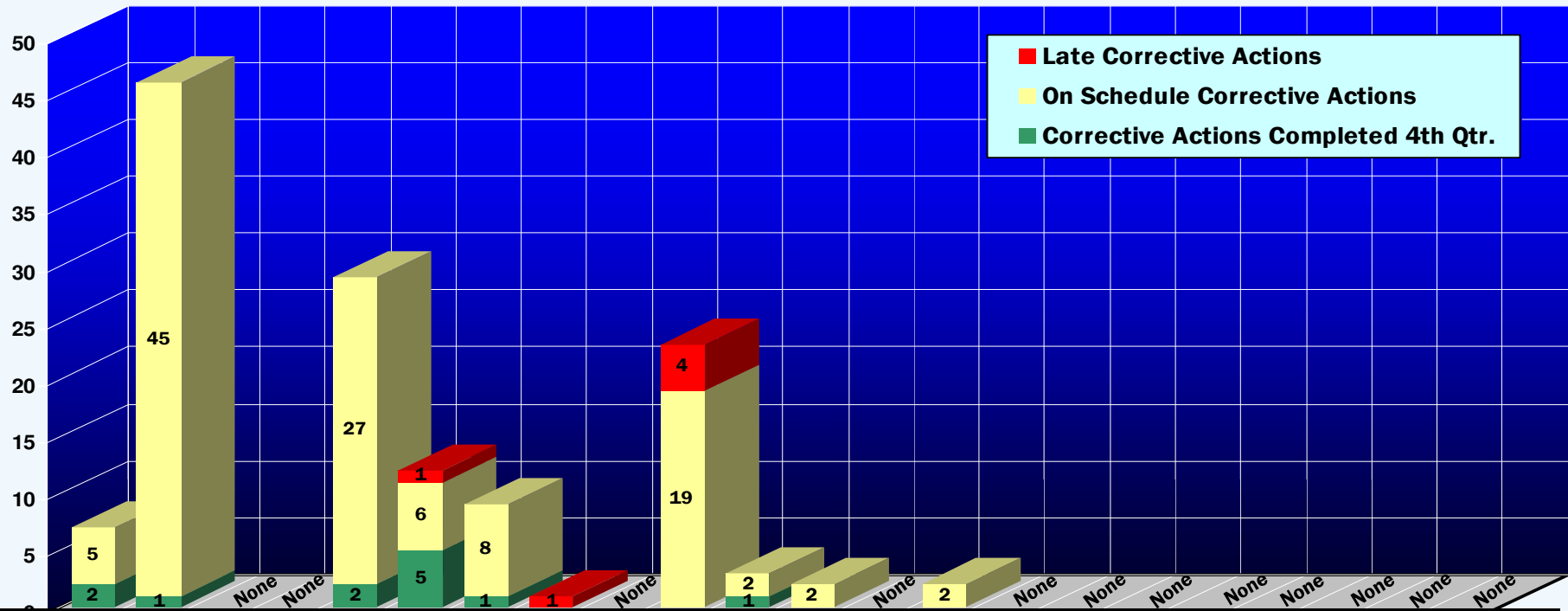
<http://www.hss.energy.gov/CSA/csp/camp/index.html>

Department of Energy Summary

| | |
|--|-----------|
| New Assessment Reports this Quarter | 0 |
| CAPs Pending Approval – Approval On Schedule | 0 |
| CAPs Pending Approval – Approval ≤ 60 Days OVERDUE | 0 |
| CAPs Pending Approval – Approval > 60 Days OVERDUE | 0 |
| Total CAPs Pending Approval | 0 |
| Approved CAPs Completed This Quarter | 1 |
| Approved CAPs – On Schedule | 10 |
| Approved CAPs – With Actions Open > 60 Days and ≤ 90 Days OVERDUE | 0 |
| Approved CAPs – With Actions Open > 90 Days OVERDUE | 1 |
| Total Approved CAPs Still Open | 11 |
| Corrective Action Effectiveness Reviews Approved This Quarter | 2 |
| Corrective Action Effectiveness Reviews – On Schedule | 4 |
| Corrective Action Effectiveness Reviews – Approval OVERDUE | 2 |
| Total Pending Effectiveness Reviews | 6 |

Status of the Corrective Action Management Program

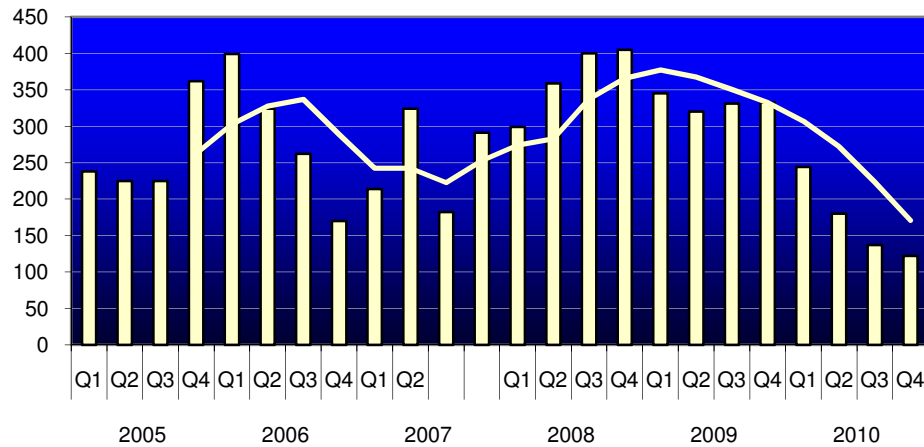
Department of Energy



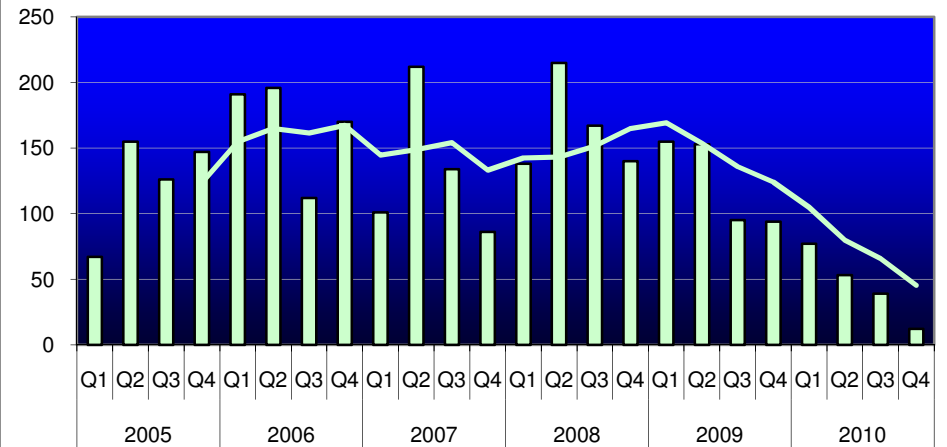
| DOE SITE | LASO | LSO | NSO | OST | PSO | SSO | YSO | ASO | BHSO | LBNL | OR | PNNL | SLAC | TJNA | ETTP | ICP | OR | ORP | RL | SR | WIPP | INL | TOTALS |
|---------------------------------------|------|-----|-----|-----|-----|-----|-----|-----|------|------|-----|------|------|------|------|-----|----|-----|-----|-----|------|-----|--------|
| PSO | NNSA | | | | | | | SC | | | | | | | EM | | | | | | | NE | |
| Total Active Reports | 3 | 6 | 4 | 2 | 3 | 4 | 2 | 1 | 3 | 1 | 3 | 1 | 1 | 1 | 1 | 1 | 1 | 2 | 1 | 3 | 1 | 2 | 47 |
| Total Findings | 67 | 69 | 29 | 10 | 22 | 58 | 15 | 24 | 23 | 10 | 23 | 1 | 14 | 5 | 11 | 3 | 24 | 23 | 19 | 27 | 13 | 26 | 516 |
| Total Corrective Actions | 335 | 339 | 95 | 23 | 128 | 324 | 158 | 263 | 113 | 28 | 136 | 10 | 89 | 36 | 79 | 44 | 92 | 146 | 192 | 164 | 91 | 233 | 3118 |
| Completed Corrected Actions | 330 | 294 | 95 | 23 | 101 | 317 | 150 | 262 | 113 | 5 | 134 | 8 | 89 | 34 | 79 | 44 | 92 | 146 | 192 | 164 | 91 | 233 | 2996 |
| Open Corrective Actions | 5 | 45 | 0 | 0 | 27 | 7 | 8 | 1 | 0 | 23 | 2 | 2 | 0 | 2 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 122 |
| Late Corrective Actions | 0 | 0 | 0 | 0 | 0 | 1 | 0 | 1 | 0 | 4 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 6 |
| On Schedule Corrective Actions | 5 | 45 | 0 | 0 | 27 | 6 | 8 | 0 | 0 | 19 | 2 | 2 | 0 | 2 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 116 |
| CAs Completed 4 th Quarter | 2 | 1 | 0 | 0 | 2 | 5 | 1 | 0 | 0 | 0 | 1 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 12 |

DOE Corrective Action Trends

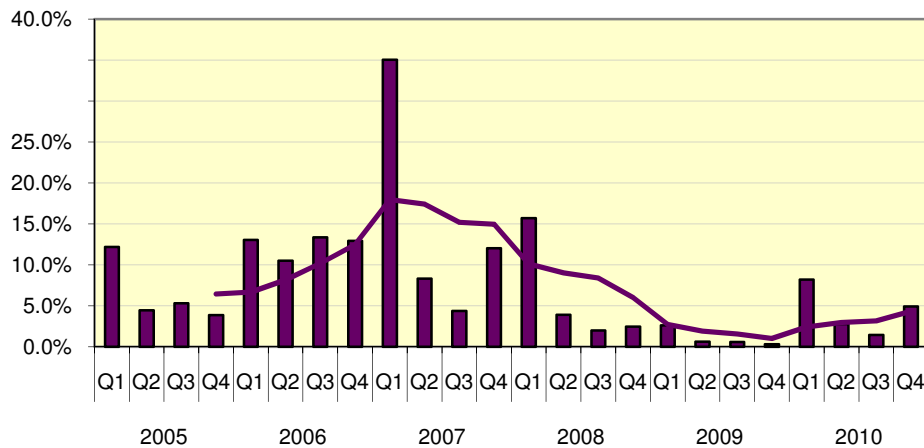
**DOE Open CAs
with 4-Quarter Moving Average**



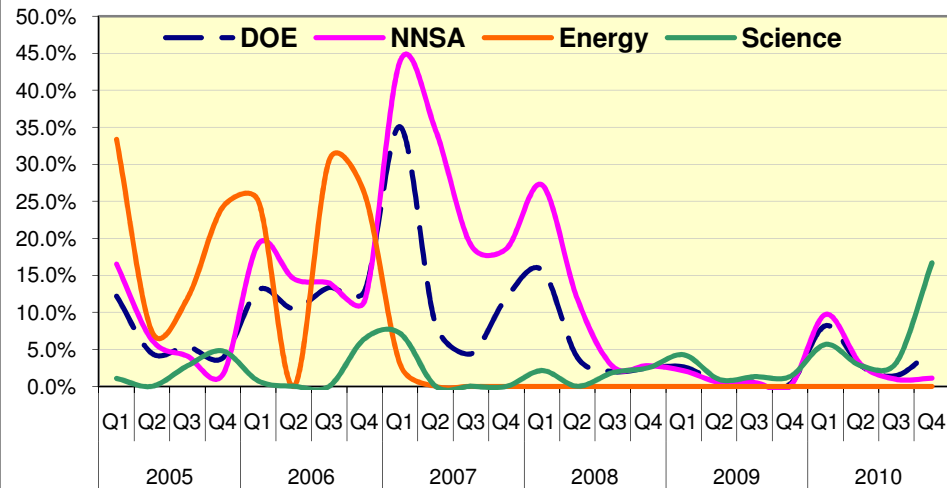
**DOE Completed CAs
with 4-Quarter Moving Average**



**DOE Percentage of Late CAs
with 4-Quarter Moving Average**



Comparison % of Late Corrective Actions



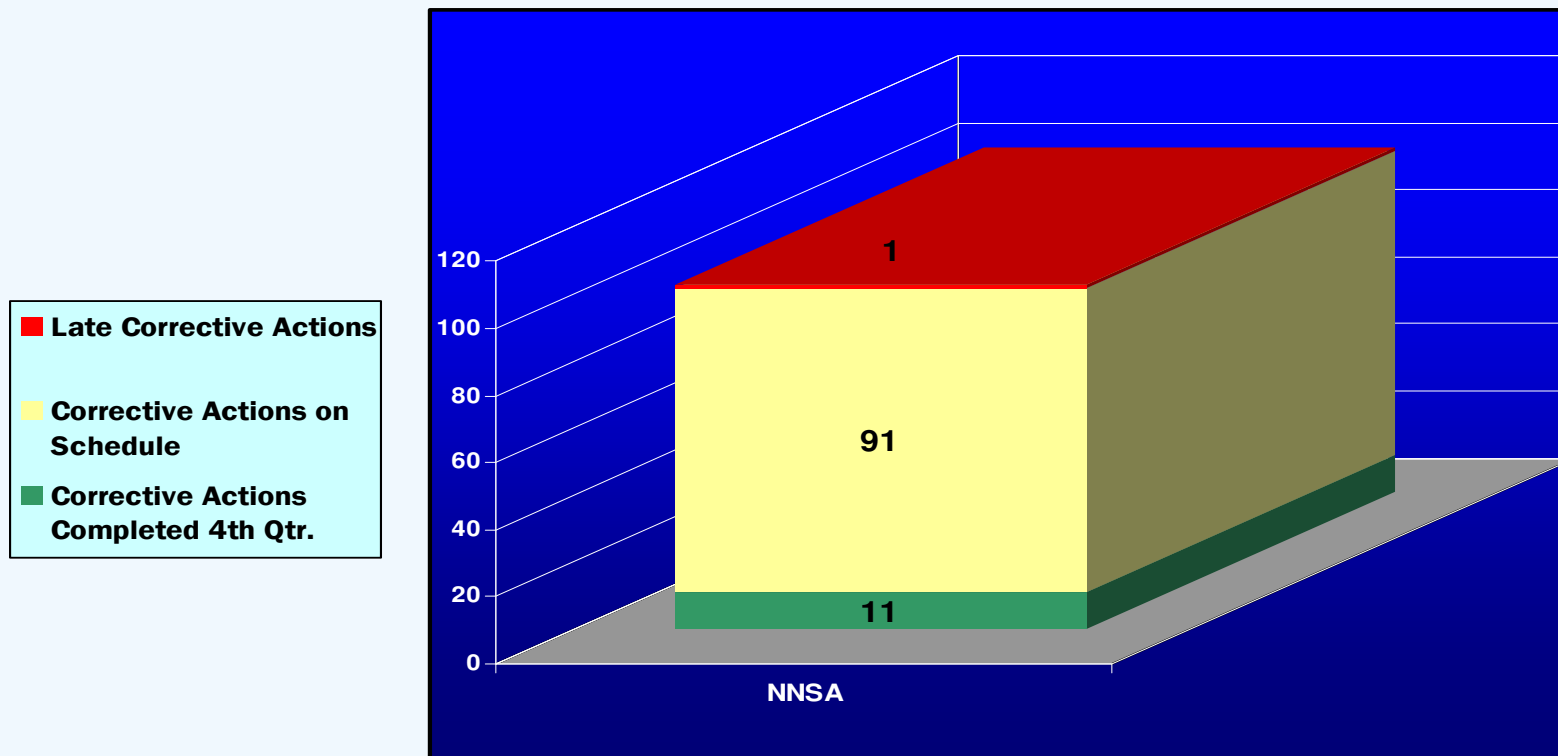


Administrator, National Nuclear Security Administration

National Nuclear Security Administration

| | |
|--|----------|
| New Assessment Reports this Quarter | 0 |
| CAPs Pending Approval – Approval On Schedule | 0 |
| CAPs Pending Approval – Approval ≤ 60 Days OVERDUE | 0 |
| CAPs Pending Approval – Approval > 60 Days OVERDUE | 0 |
| Total CAPs Pending Approval | 0 |
| Approved CAPs Completed This Quarter | 1 |
| Approved CAPs – On Schedule | 5 |
| Approved CAPs – With Actions Open ≤ 90 Days OVERDUE | 0 |
| Approved CAPs – With Actions Open > 90 Days OVERDUE | 0 |
| Total Approved CAPs Still Open | 5 |
| Corrective Action Effectiveness Reviews Approved This Quarter | 0 |
| Corrective Action Effectiveness Reviews – On Schedule | 4 |
| Corrective Action Effectiveness Reviews – Approval OVERDUE | 1 |
| Total Pending Effectiveness Reviews | 5 |

Summary of Corrective Actions for the Administrator, National Nuclear Security Administration



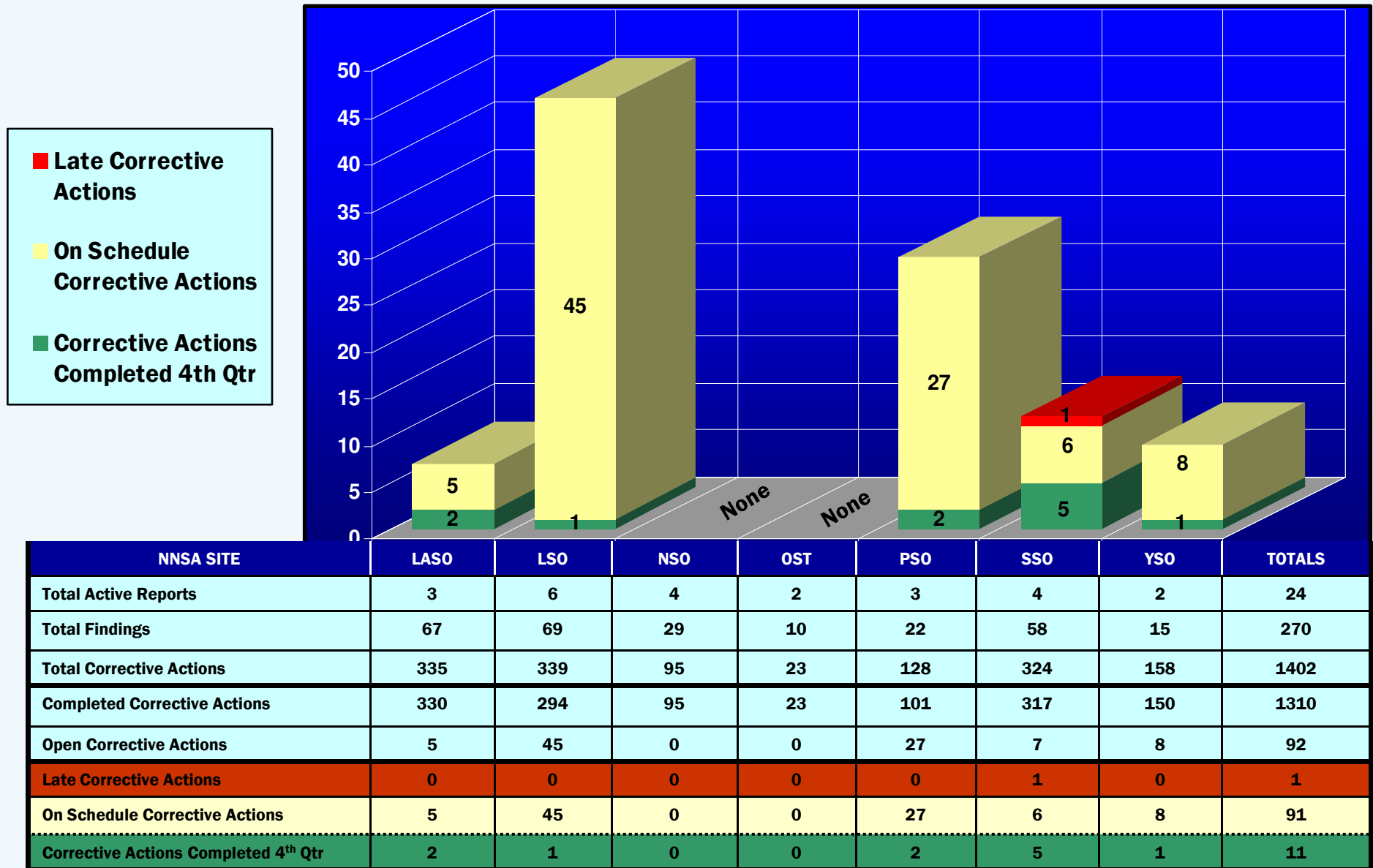
| NATIONAL NUCLEAR SECURITY ADMINISTRATION | All NNSA |
|---|----------|
| Total Active Reports | 24 |
| Total Findings | 270 |
| Total Corrective Actions | 1402 |
| Completed Corrective Actions | 1310 |
| Open Corrective Actions | 92 |
| Late Corrective Actions | 1 |
| Corrective Actions on Schedule | 91 |
| Corrective Actions Completed 4 th Qtr. | 11 |

Administrator, National Nuclear Security Administration

Late Corrective Actions

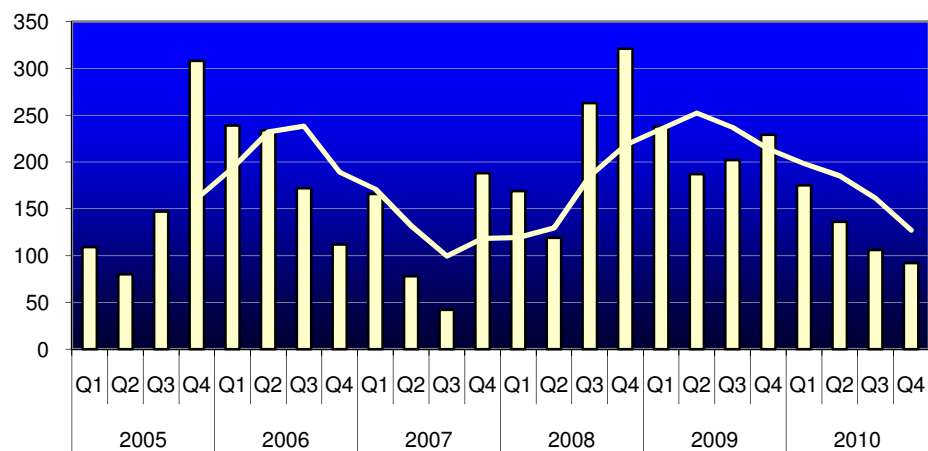
| | |
|---|--|
| SANDIA NATIONAL LABORATORY: Report Number: SNLAL-04/14/2008-0001-R-ES&H Report Title: "Independent Oversight Inspection of Environment, Safety, and Health Programs at the Sandia National Laboratories-April 2008" Late Corrective Action 1: SNLAL-04/14/2008-I0002-0003-A Due Date: 08/16/2010 | |
| Sandia National Laboratory - Total Late Corrective Actions: 1 | |
| NNSA LATE CORRECTIVE ACTIONS: 1 | |

Status of Corrective Actions for the Deputy Administrator for Defense Programs

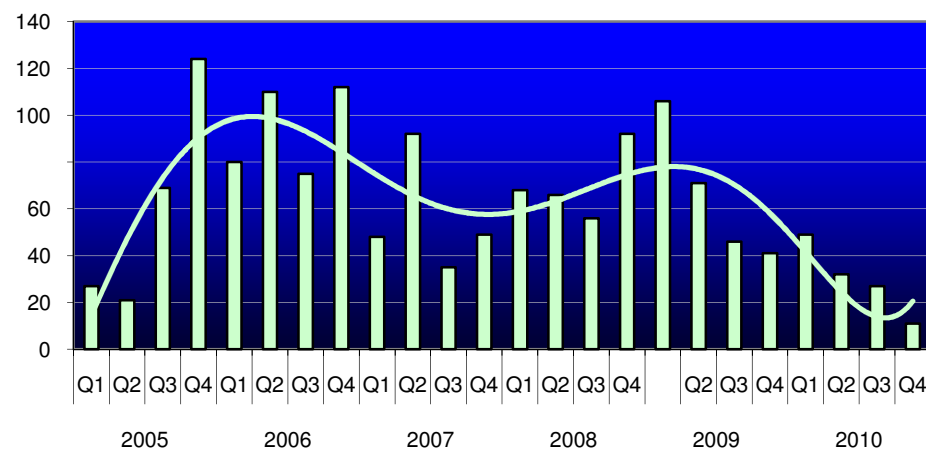


NNSA Corrective Action Trends

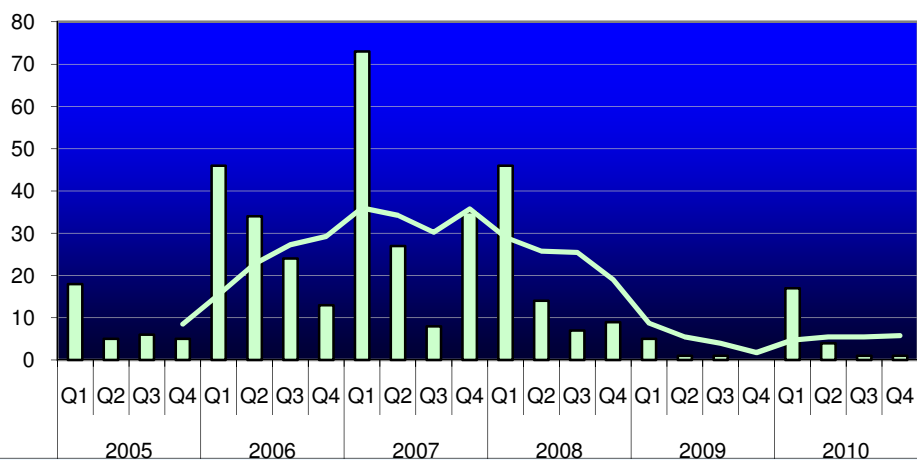
NNSA Open CAs
with 4-Quarter Moving Average



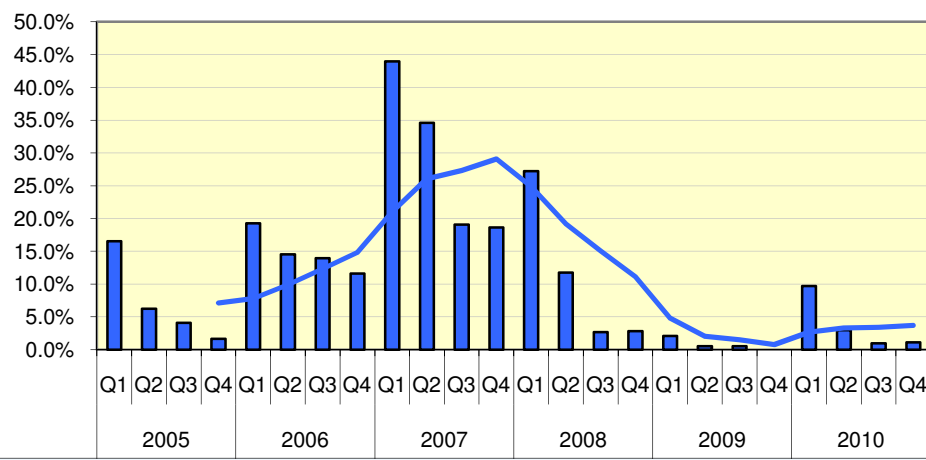
NNSA Completed CAs
with 4-Quarter Moving Average



NNSA Late CAs
with 4-Quarter Moving Average



NNSA Percentage of Late CAs
with 4-Quarter Moving Average





Under Secretary of Energy

Under Secretary of Energy Summary

| | |
|--|----------|
| New Assessment Reports this Quarter | 0 |
| CAPs Pending Approval – Approval On Schedule | 0 |
| CAPs Pending Approval – Approval ≤ 60 Days OVERDUE | 0 |
| CAPs Pending Approval – Approval > 60 Days OVERDUE | 0 |
| Total CAPs Pending Approval | 0 |
| Approved CAPs Completed This Quarter | 0 |
| Approved CAPs – On Schedule | 0 |
| Approved CAPs – With Actions Open ≤ 90 Days OVERDUE | 0 |
| Approved CAPs – With Actions Open > 90 Days OVERDUE | 0 |
| Total Approved CAPs Still Open | 0 |
| Corrective Action Effectiveness Reviews Approved This Quarter | 1 |
| Corrective Action Effectiveness Reviews – On Schedule | 0 |
| Corrective Action Effectiveness Reviews – Approval OVERDUE | 0 |
| Total Pending Effectiveness Reviews | 0 |

Summary of Corrective Actions for the Under Secretary of Energy

| UNDER SECRETARY OF ENERGY | EM | NE | TOTALS |
|---|-----|-----|--------|
| Total Active Reports | 11 | 2 | 13 |
| Total Findings | 126 | 26 | 152 |
| Total Corrective Actions | 808 | 233 | 1041 |
| Completed Corrective Actions | 808 | 233 | 1041 |
| Open Corrective Actions | 0 | 0 | 0 |
| Late Corrective Actions | 0 | 0 | 0 |
| On Schedule Corrective Actions | 0 | 0 | 0 |
| Corrective Actions Completed 4 th Qtr. | 0 | 0 | 0 |

Status of Corrective Actions for the Assistant Secretary for Environmental Management

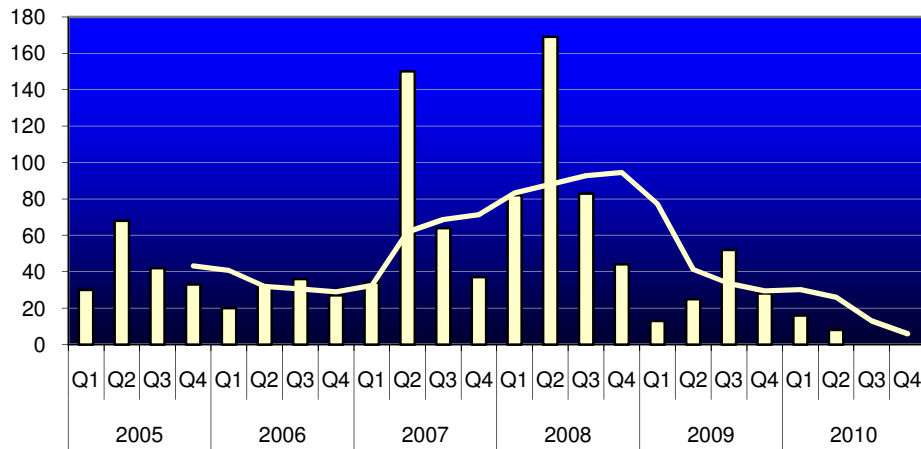
| EM SITE | ETTP | ICP | OR | ORP | PPPO | RL | SR | WIPP | TOTALS |
|---|------|-----|----|-----|------|-----|-----|------|--------|
| Total Active Reports | 1 | 1 | 1 | 2 | 0 | 1 | 3 | 1 | 11 |
| Total Findings | 11 | 3 | 24 | 23 | 6 | 19 | 27 | 13 | 126 |
| Total Corrective Actions | 79 | 44 | 92 | 146 | 0 | 192 | 164 | 91 | 808 |
| Completed Corrective Actions | 79 | 44 | 92 | 146 | 0 | 192 | 164 | 91 | 808 |
| Open Corrective Actions | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Late Corrective Actions | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| On Schedule Corrective Actions | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Corrective Actions Completed 4 th Qtr. | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |

Status of Corrective Actions for the Assistant Secretary for Nuclear Energy

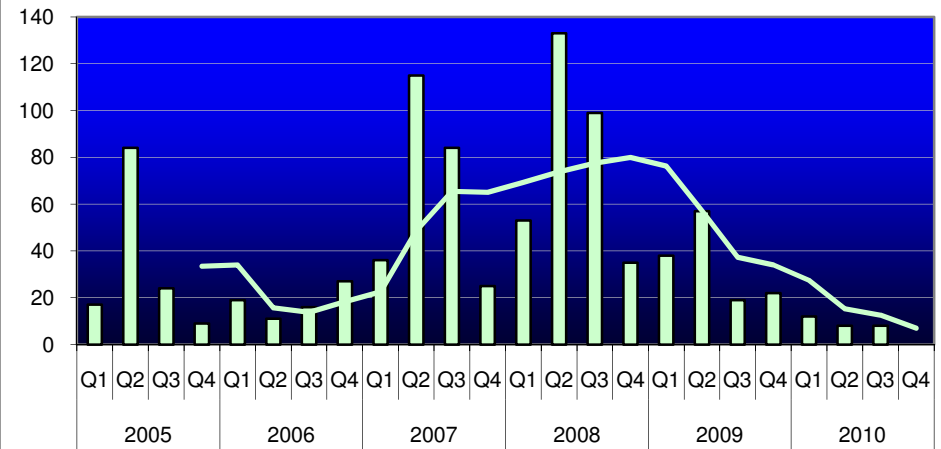
| NUCLEAR ENERGY | INL |
|---|-----|
| Total Active Reports | 2 |
| Total Findings | 26 |
| Total Corrective Actions | 233 |
| Completed Corrective Actions | 233 |
| Open Corrective Actions | 0 |
| Late Corrective Actions | 0 |
| On Schedule Corrective Actions | 0 |
| Corrective Actions Completed 4 th Qtr. | 0 |

Energy Corrective Action Trends

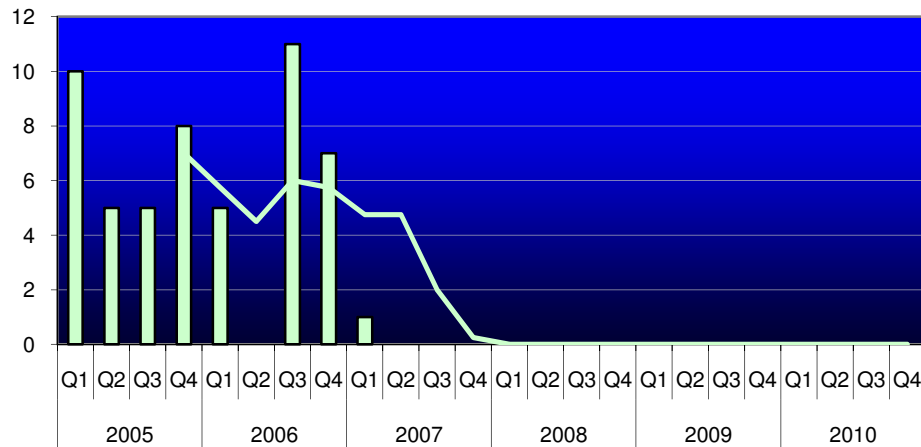
**Energy Open CAs
with 4-Quarter Moving Average**



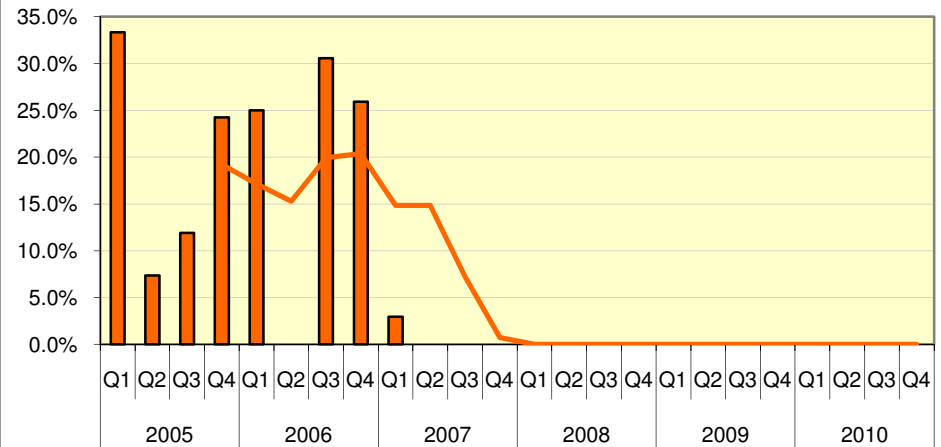
**Energy Completed CAs
with 4-Quarter Moving Average**



**Energy Late CAs
with 4-Quarter Moving Average**



**Energy Percentage of Late CAs
with 4-Quarter Moving Average**



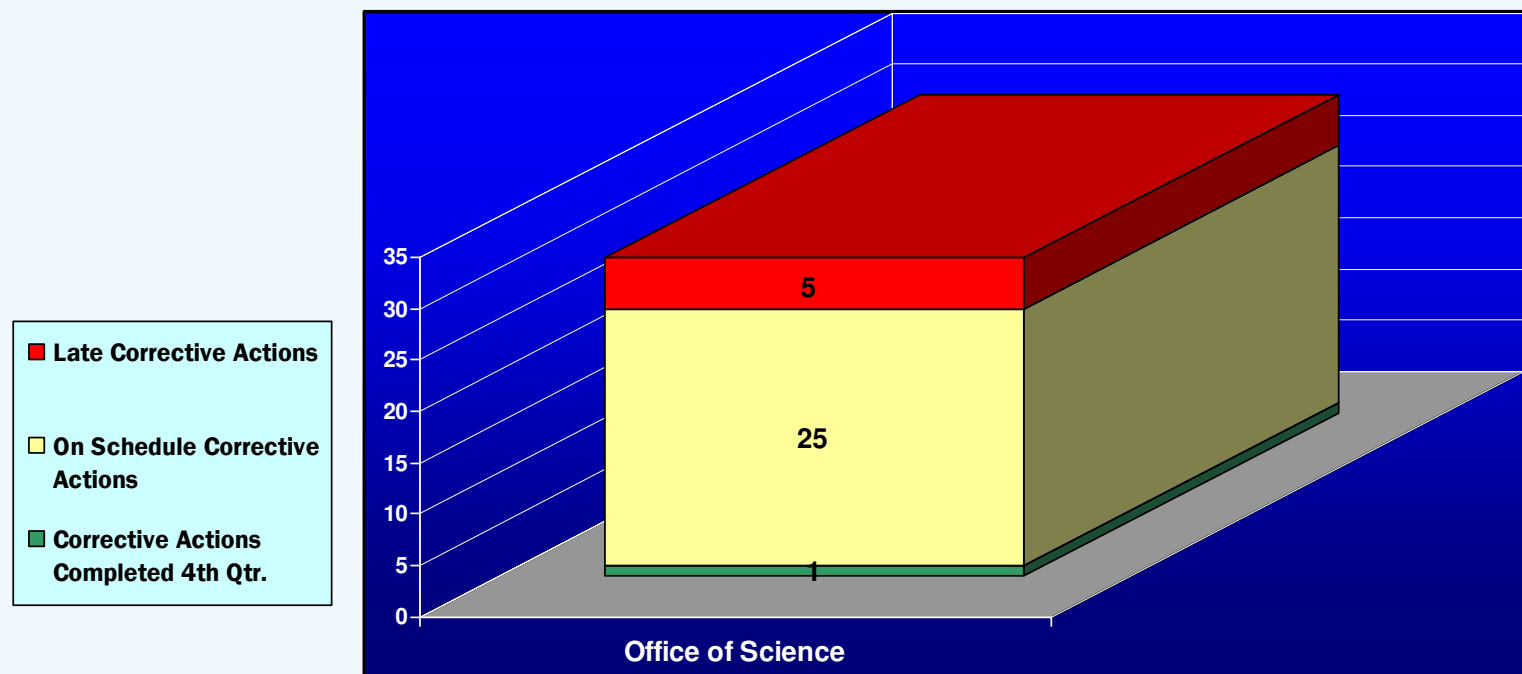


Under Secretary for Science

Under Secretary for Science Summary

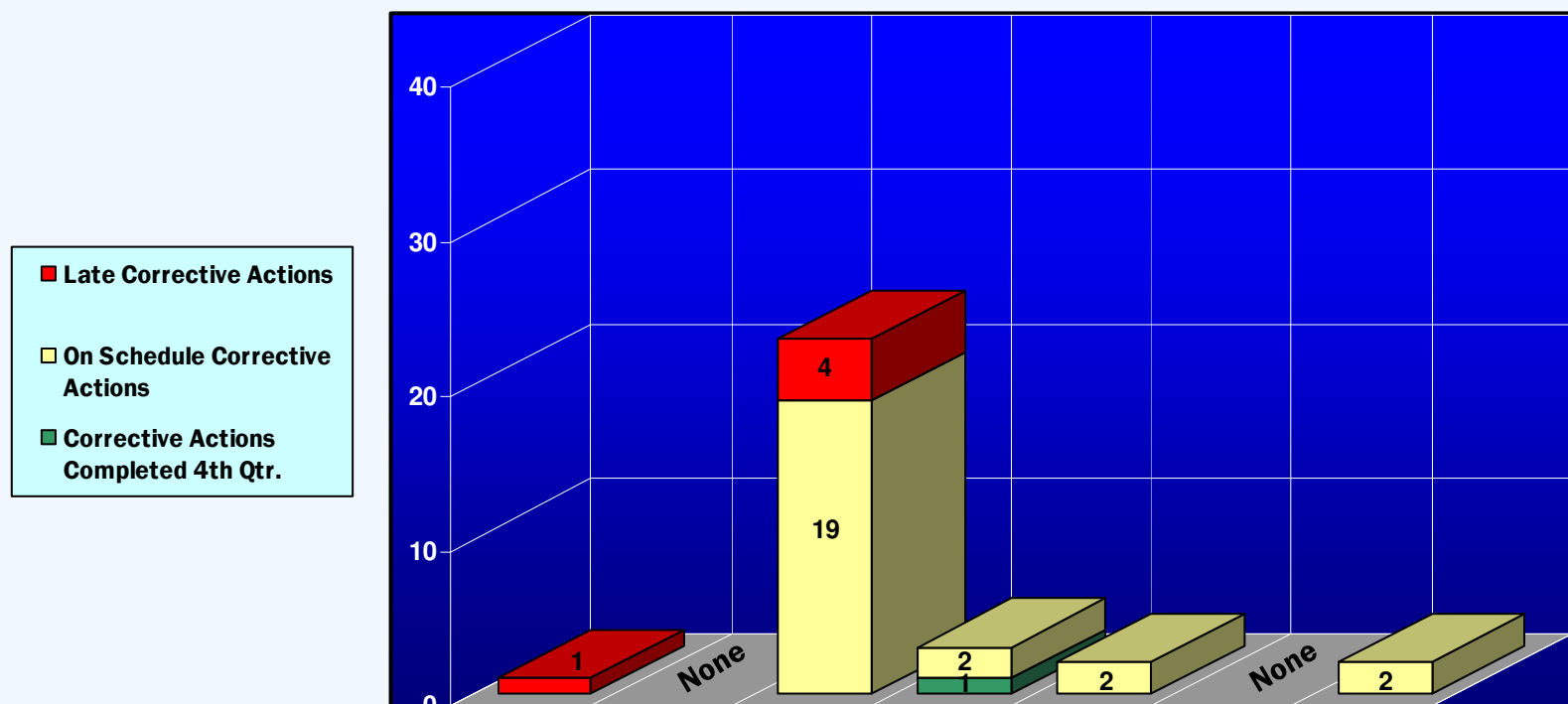
| | |
|--|----------|
| New Assessment Reports this Quarter | 0 |
| CAPs Pending Approval – Approval On Schedule | 0 |
| CAPs Pending Approval – Approval ≤ 60 Days OVERDUE | 0 |
| CAPs Pending Approval – Approval > 60 Days OVERDUE | 0 |
| Total CAPs Pending Approval | 0 |
| Approved CAPs Completed This Quarter | 0 |
| Approved CAPs – On Schedule | 5 |
| Approved CAPs – With Actions Open ≤ 90 Days OVERDUE | 0 |
| Approved CAPs – With Actions Open > 90 Days OVERDUE | 1 |
| Total Approved CAPs Still Open | 6 |
| Corrective Action Effectiveness Reviews Approved This Quarter | 1 |
| Corrective Action Effectiveness Reviews – On Schedule | 0 |
| Corrective Action Effectiveness Reviews – Approval OVERDUE | 1 |
| Total Pending Effectiveness Reviews | 1 |

Summary of Corrective Actions for the Under Secretary for Science



| OFFICE OF SCIENCE | All SC |
|---|--------|
| Total Active Reports | 11 |
| Total Findings | 100 |
| Total Corrective Actions | 675 |
| Completed Corrective Actions | 645 |
| Open Corrective Actions | 30 |
| Late Corrective Actions | 5 |
| On Schedule Corrective Actions | 25 |
| Corrective Actions Completed 4 th Qtr. | 1 |

Status of Corrective Actions for the Director, Office of Science



| SCIENCE SITE | ASO | BHSO | LBNL | OR | PNNL | SLAC | TJNA | TOTALS |
|---|-----|------|------|-----|------|------|------|--------|
| Total Active Reports | 1 | 3 | 1 | 3 | 1 | 1 | 1 | 11 |
| Total Findings | 24 | 23 | 10 | 23 | 1 | 14 | 5 | 100 |
| Total Corrective Actions | 263 | 113 | 28 | 136 | 10 | 89 | 36 | 675 |
| Completed Corrective Actions | 262 | 113 | 5 | 134 | 8 | 89 | 34 | 645 |
| Open Corrective Actions | 1 | 0 | 23 | 2 | 2 | 0 | 2 | 30 |
| Late Corrective Actions | 1 | 0 | 4 | 0 | 0 | 0 | 0 | 5 |
| On Schedule Corrective Actions | 0 | 0 | 19 | 2 | 2 | 0 | 2 | 25 |
| Corrective Actions Completed 4 th Qtr. | 0 | 0 | 0 | 1 | 0 | 0 | 0 | 1 |

Director, Office of Science

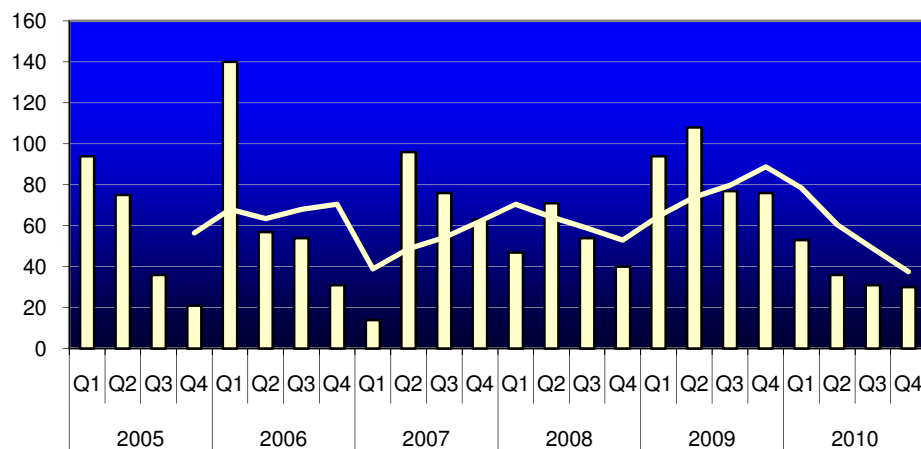
Late Corrective Actions

The Argonne National Laboratory corrective action was due on May 30, 2008 and has been late for over 2 years.

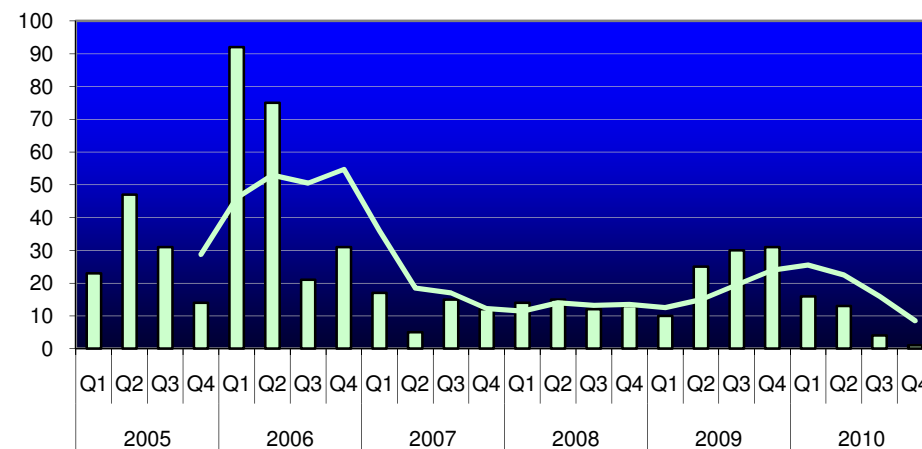
| | |
|---|--|
| ARGONNE NATIONAL LABORATORY: Report Number: ANLE-07/07/2005-0001-R-ES&H Report Title: "Final Report of the Office of Independent Oversight and Performance Assurance "Inspection of the Environment, Safety, and Health Management at the Argonne National Laboratory, May 2005" Late Corrective Action 1: ANLE-07/07/2005-I0019-0005-A Due Date: 05/30/2008 | |
| Argonne National Laboratory - Total Late Corrective Actions: 1 | |
| LAWRENCE BERKELEY NATIONAL LABORATORY: Report Number: LBNL-04/16/2009-0001-R-ES&H Report Title: "Independent Oversight Inspection of Environment, Safety and Health Programs at the Lawrence Berkeley National Laboratory, April 2009" Late Corrective Action 1: LBNL-04/16/2009-I0001-0002-A Due Date: 07/15/2010 Late Corrective Action 2: LBNL-04/16/2009-I0002-0001-A Due Date: 07/15/2010 Late Corrective Action 3: LBNL-04/16/2009-I0005-0002-A Due Date: 08/01/2010 Late Corrective Action 4: LBNL-04/16/2009-I0006-0002-A Due Date: 07/01/2010 | |
| Lawrence Berkeley National Laboratory - Total Late Corrective Actions: 4 | |
| OFFICE OF SCIENCE TOTAL LATE CORRECTIVE ACTIONS: 5 | |

Science Corrective Action Trends

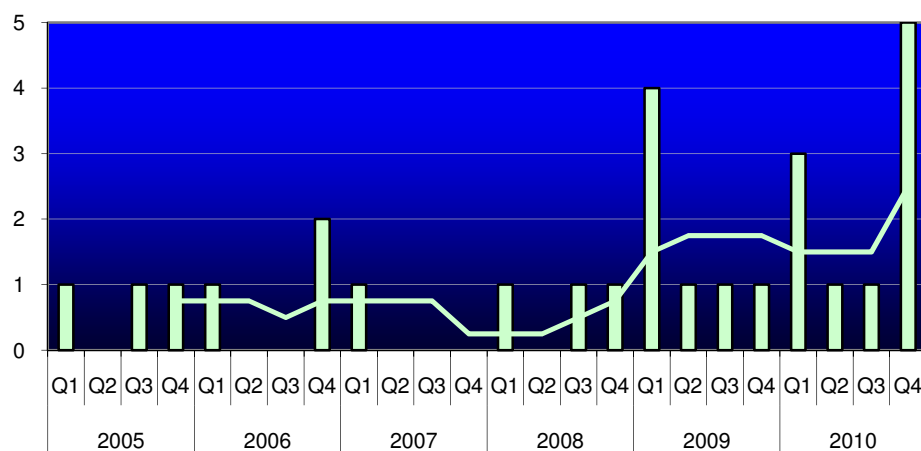
**Science Open CAs
with 4-Quarter Moving Average**



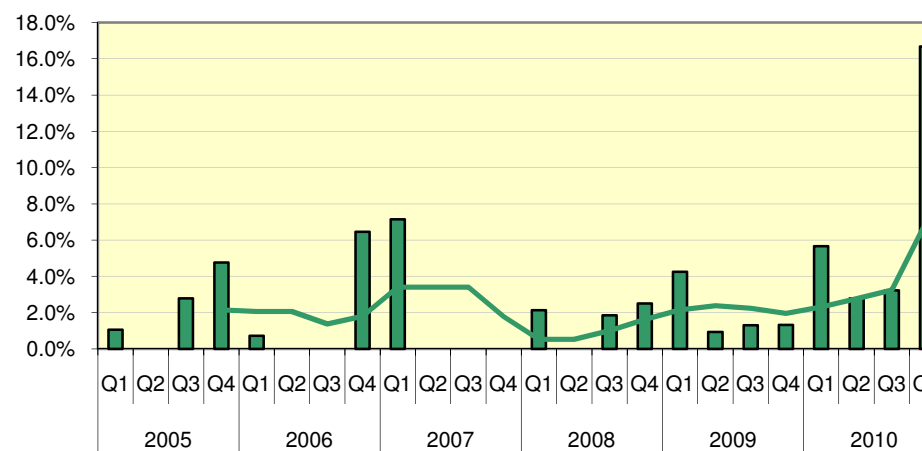
**Science Completed CAs
with 4-Quarter Moving Average**



**Science Late CAs
with 4-Quarter Moving Average**



**Science Percentage of Late CAs
with 4-Quarter Moving Average**



Abbreviations

| | | | |
|-------------|---|-------------|---|
| ASO | Argonne Site Office | NTS | Nevada Test Site |
| BHSO | Brookhaven Site Office | OR | Oak Ridge Operations Office |
| CAMP | Corrective Action Management Program | ORP | Office of River Protection |
| CAP | Corrective Action Plan | OST | Office of Secure Transportation |
| CATS | Corrective Action Tracking System | PMA | Power Marketing Administration |
| CH | Chicago Operations Office | PNSO | Pacific Northwest Site Office |
| EM | Office of Environmental Management | PP | Pantex Plant |
| ETTP | East Tennessee Technology Park | PPPO | Portsmouth/Paducah Project Office |
| HQ | Department of Energy Headquarters | PSO | Pantex Site Office |
| HS | Office of Health, Safety & Security | RL | Richland Operations Office |
| ICP | Idaho Cleanup Project | SC | Office of Science |
| ID | Idaho Operations Office | SLAC | Stanford Linear Accelerator Center |
| INL | Idaho National Laboratory | SNL | Sandia National Laboratories |
| KCP | Kansas City Plant | SO | Secretarial Office |
| KCSO | Kansas City Site Office | SR | Savannah River Operations Office |
| LANL | Los Alamos National Laboratory | SRS | Savannah River Site |
| LASO | Los Alamos Site Office | SSO | Sandia Site Office |
| LLNL | Lawrence Livermore National Laboratory | WAPA | Western Area Power Administration |
| LSO | Livermore Site Office | WIPP | Waste Isolation Pilot Plant |
| NAEO | NNSA Emergency Operations | XM | Emergency Management |
| NE | Office of Nuclear Energy | Y-12 | Y-12 National Security Complex |
| NNSA | National Nuclear Security Administration | YSO | Y-12 Site Office |
| NSO | Nevada Site Office | | |